

FORM PTO-1390 (Modified)  
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES**  
**DESIGNATED/ELECTED OFFICE (DO/EO/US)**  
**CONCERNING A FILING UNDER 35 U.S.C. 371**

99035077

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/485734

INTERNATIONAL APPLICATION NO.  
**PCT/DE98/01178**INTERNATIONAL FILING DATE  
**24 April 1998**PRIORITY DATE CLAIMED  
**12 August 1997**

## TITLE OF INVENTION

**Constituting Security Elements with Optical Diffraction Effect and Device for Controlling such Elements**

APPLICANT(S) FOR DO/EO/US

**Puttkammer**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

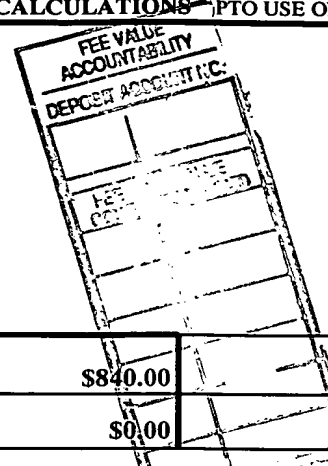
**Items 13 to 20 below concern document(s) or information included:**

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

- a.) an English Translation of the Specification and Claims Amended under Rule 66 PCT;
- b.) a Post Card Receipt

U.S. APPLICATION NO. (IF KNOWN, SEE <b>09/485734</b> )		INTERNATIONAL APPLICATION NO. <b>PCT/DE98/01178</b>		ATTORNEY'S DOCKET NUMBER <b>990350</b>	
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21. The following fees are submitted:.

<b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :</b>					
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO .....	<b>\$970.00</b>				
<input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO .....	<b>\$840.00</b>				
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....	<b>\$690.00</b>				
<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) .....	<b>\$670.00</b>				
<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) .....	<b>\$96.00</b>				
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>\$840.00</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				<b>\$0.00</b>	
<b>CLAIMS</b>	<b>NUMBER FILED</b>	<b>NUMBER EXTRA</b>	<b>RATE</b>		
Total claims	22 - 20 =	2	x \$18.00	<b>\$36.00</b>	
Independent claims	2 - 3 =	0	x \$78.00	<b>\$0.00</b>	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$876.00</b>	
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). <input checked="" type="checkbox"/>				<b>\$438.00</b>	
<b>SUBTOTAL =</b>				<b>\$438.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$438.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input checked="" type="checkbox"/>				<b>\$40.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$478.00</b>	
				Amount to be: refunded	\$
				charged	\$

☒ A check in the amount of **\$460.00** to cover the above fees is enclosed.


☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

☐ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. \_\_\_\_\_ A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

**Law Offices of Karl Hormann**  
**86 Sparks Street**  
**Cambridge, MA 02138-2216**



SIGNATURE

**Karl Hormann**

NAME

**26,470**

REGISTRATION NUMBER


**14 February 2000**

DATE

09/485734  
522 Rec'd PCT/PTO 14 FEB 2000

International Application No.: PCT/DE98/01180  
International Filing Date: 24 April 1998  
Priority Application: DE 197 34 855  
Priority Filing Date: 12 August 1997  
2. Priority Application: DE 198 12 811  
2. Priority Filing Date: 15 March 1998  
Inventor: Puttkammer, Frank  
For: Structure of a Security Element...

**Specification and Claims as Amended 14 July 1999  
in Response to Official Action under Rule 66 PCT**

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b>		Docket No. <b>990350</b>	
Applicant(s): <b>Puttkammer et al.</b>			
Serial No. <b>09/485734</b>	Filing Date <b>14 February 2000</b>	Examiner	Group Art Unit
Invention: <b>Constituting Security Elements with Optical Diffraction Effect and Device for Controlling such Element</b>			
<p>I hereby certify that this <u><b>Application to Commence the U.S. National Phase of PCT/DE98/00178</b></u> (Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on <u><b>14 February 2000</b></u> (Date)</p> <p><u><b>Karl Hormann</b></u> (Typed or Printed Name of Person Mailing Correspondence)</p> <p><u></u> (Signature of Person Mailing Correspondence)</p> <p><u><b>EJ 612064803US</b></u> (Express Mail Mailing Label Number)</p>			

Note: Each paper must have its own certificate of mailing.